



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

|                                       |   |                            |
|---------------------------------------|---|----------------------------|
| In re Application of:                 | ) |                            |
| Peter Rieke et al.                    | ) |                            |
|                                       | ) | Art Unit: Not Yet Assigned |
| Serial No.: 10/764,223                | ) |                            |
| Filed: 1/22/2004                      | ) |                            |
| Assignee: Battelle Memorial Institute | ) | Examiner: Not Yet Assigned |
|                                       | ) |                            |
| For: POLYMER SURFACE WITH             | ) | File No: E-1563            |
| INCREASED HYDROPHILICITY AND          | ) |                            |
| METHOD OF MAKING                      | ) | Date: March 12, 2004       |

INFORMATION DISCLOSURE STATEMENT

(References – See attached forms PTO/SB/08A and PTO/SB/08B)

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

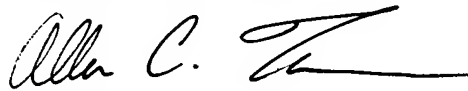
Attached hereto are Forms PTO/SB/08A and PTO/SB/08B listing documents believed to be relevant to the subject application. It is respectfully requested that these documents be considered by the examiner and an initialed copy of each form be returned to the undersigned.

This disclosure statement should not be construed as a representation that a search has been made or that no other material information exists, as defined in 37 C. F. R. § 1.56(a). No admission is made regarding whether any of the submitted references is prior art.

It is believed that this disclosure complies with the requirements of 37 C. F. R. §§ 1.56, 1.97, 1.98, and the Manual of Patent Examining Procedures § 609. If for some reason the examiner considers otherwise, it is respectfully requested that the undersigned be called so that any deficiencies can be remedied.

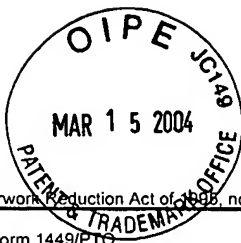
This IDS is either being submitted within the 3 month deadline or prior to the 1<sup>st</sup> Office Action, and no fees are believed to be required. However, if any fees are required for consideration of this paper, the Director is hereby authorized to charge our Deposit Account No. 02-1275.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Allan C. Tuan", followed by a long horizontal flourish.

Allan C. Tuan  
Reg. No. 55,689

Allan C. Tuan (K1-53)  
Intellectual Property Services  
Battelle Memorial Institute  
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PTO/SB/08A (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1

of 2

**Complete if Known**

|                        |                  |
|------------------------|------------------|
| Application Number     | 10/764,223       |
| Filing Date            | Jan. 22, 2004    |
| First Named Inventor   | Not yet assigned |
| Art Unit               | Not yet assigned |
| Examiner Name          | Not yet assigned |
| Attorney Docket Number | E-1563           |

| U. S. PATENT DOCUMENTS |                       |  |                                |  |   |
|------------------------|-----------------------|--|--------------------------------|--|---|
| Examiner Initials*     | Cite No. <sup>1</sup> | Document Number                          | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|                        |                       | Number-Kind Code <sup>2</sup> (if known) |                                |  |   |
|                        |                       | US- 4338420                              | 07-06-1982                     | Arbit, Harold A.                                   |   |
|                        |                       | US- 4445991                              | 05-01-1984                     | Arbit, Harold A.                                   |   |
|                        |                       | US- 5897955                              | 04-27-1999                     | Drumheller, Paul D.                                |   |
|                        |                       | US- 5783641                              | 07-21-1998                     | Koh et al.   |   |
|                        |                       | US- 4409339                              | 10-11-1983                     | Matsuda et al.                                     |   |
|                        |                       | US- 5344462                              | 09-06-1994                     | Paskalov et al.                                    |   |
|                        |                       | US- 5456972                              | 10-10-1995                     | Roth et al.  |   |
|                        |                       | US- 5759708                              | 06-02-1998                     | Tarasevich et al.                                  |   |
|                        |                       | US-                                      |                                |  |   |
|                        |                       | US-                                      |                                |  |   |
|                        |                       | US-                                      |                                |  |   |
|                        |                       | US-                                      |                                |  |   |
|                        |                       | US-                                      |                                |  |   |
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|                        |                       | US-                                      |                                |  |   |
|                        |                       | US-                                      |                                |  |   |
|                        |                       | US-                                      |                                |  |   |

| FOREIGN PATENT DOCUMENTS |                       |   |                                |   |   |                |
|--------------------------|-----------------------|---|--------------------------------|---|---|----------------|
| Examiner Initials*       | Cite No. <sup>1</sup> | Foreign Patent Document   | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear | T <sup>6</sup> |
|                          |                       | Country Code <sup>3</sup> *Number <sup>4</sup> *Kind Code <sup>5</sup> (if known) |                                |   |   |                |
|                          |                       |   |                                |   |   |                |
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|                          |                       |   |                                |   |   |                |

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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|  |   |                          |                  |                        |        |
|--|---|--------------------------|------------------|------------------------|--------|
| Substitute for form 1449/PTO<br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |   | <b>Complete if Known</b> |                  |                        |        |
|  |   | Application Number       | 10/764,223       |                        |        |
|  |   | Filing Date              | Jan. 22, 1004    |                        |        |
|  |   | First Named Inventor     | Rieke, Peter C.  |                        |        |
|  |   | Art Unit                 | Not yet assigned |                        |        |
|  |   | Examiner Name            | Not yet assigned |                        |        |
| Sheet  | 2 | of                       | 2                | Attorney Docket Number | E-1563 |

| NON PATENT LITERATURE DOCUMENTS |                       |   |                |
|---------------------------------|-----------------------|---|----------------|
| Examiner Initials*              | Cite No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |
|                                 |                       | MICHAEL J. A. PORT, Contact lens surface properties and interactions, Optometry Today, July 30 1999, p. 27 - 36.  |                |
|                                 |                       | SUN ET AL., New-type sulphonated polymer surfaces for improving blood compatibility, Journal of Applied Polymer Science, 1999, p. 2826-2831, vol. 74  |                |
|                                 |                       |   |                |
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|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )  
)  
Rieke, et al. )  
)  
Serial No: 10/764,223 )  
)  
For: POLYMER SURFACE WITH ) Our Ref. No: E-1563  
INCREASED HYDROPHILICITY )  
AND METHOD OF MAKING ) Date: March 12, 2004

CERTIFICATE OF MAILING

Mailstop PATENT APPLICATION  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

The undersigned hereby certifies that the attached:

- ☒ [ X ] Information Disclosure Statement, Form PTO/SB/08A and PTO/SB/08B  
with References
- ☒ [ X ] Fee Sheet (2 ea)
- ☒ [ X ] Return Receipt Postcard

are being deposited with the United States Postal Service as:

- ☒ [ X ] First Class Mail
- ☐ [ ] Express Mail - Label # \_\_\_\_\_

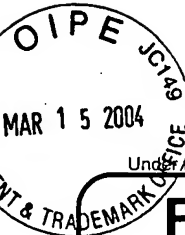
in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date set forth below.

Rebecca B. Rupp  
Signature

March 12, 2004  
Date Deposited

Rebecca B. Rupp KI-53  
Intellectual Property Services  
Battelle Memorial Institute  
Pacific Northwest Laboratories  
P.O. Box 999  
Richland, WA 99352  
(509) 375-2536

MAR 15 2004



PTO/SB/17 (10-03)

Approved for use through 07/31/2006. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT

(\$)-0-

## Complete if Known

Application Number 10/764,223

Filing Date 1/22/2004

First Named Inventor Peter C. Rieke

Examiner Name Not yet assigned

Art Unit Not yet assigned

Attorney Docket No. E-1563

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit Account Number  
Deposit Account Name

02-1275

Battelle Memorial Insitut

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

## 1. BASIC FILING FEE

| Large Entity |          | Small Entity |          | Fee Description        | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |                        |          |
| 1001         | 770      | 2001         | 385      | Utility filing fee     |          |
| 1002         | 340      | 2002         | 170      | Design filing fee      |          |
| 1003         | 530      | 2003         | 265      | Plant filing fee       |          |
| 1004         | 770      | 2004         | 385      | Reissue filing fee     |          |
| 1005         | 160      | 2005         | 80       | Provisional filing fee |          |
| SUBTOTAL (1) |          |              |          | (\$)                   |          |

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

|  | Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--|--------------------|--------------|----------------|----------|
|  |                    | -20** =      | X              |          |
|  | Independent Claims | -3** =       | X              |          |
|  | Multiple Dependent |              |                |          |

| Large Entity |          | Small Entity |          | Fee Description  |
|--------------|----------|--------------|----------|--|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |  |
| 1202         | 18       | 2202         | 9        | Claims in excess of 20                                     |
| 1201         | 86       | 2201         | 43       | Independent claims in excess of 3                          |
| 1203         | 290      | 2203         | 145      | Multiple dependent claim, if not paid                      |
| 1204         | 86       | 2204         | 43       | ** Reissue independent claims over original patent         |
| 1205         | 18       | 2205         | 9        | ** Reissue claims in excess of 20 and over original patent |
| SUBTOTAL (2) |          |              |          | (\$)-0-  |

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description  | Fee Paid |
|----------|----------|----------|----------|--|----------|
| 1051     | 130      | 2051     | 65       | Surcharge - late filing fee or oath  |          |
| 1052     | 50       | 2052     | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053     | 130      | 1053     | 130      | Non-English specification  |          |
| 1812     | 2,520    | 1812     | 2,520    | For filing a request for ex parte reexamination                            |          |
| 1804     | 920*     | 1804     | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 1805     | 1,840*   | 1805     | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 1251     | 110      | 2251     | 55       | Extension for reply within first month                                     |          |
| 1252     | 420      | 2252     | 210      | Extension for reply within second month                                    |          |
| 1253     | 950      | 2253     | 475      | Extension for reply within third month                                     |          |
| 1254     | 1,480    | 2254     | 740      | Extension for reply within fourth month                                    |          |
| 1255     | 2,010    | 2255     | 1,005    | Extension for reply within fifth month                                     |          |
| 1401     | 330      | 2401     | 165      | Notice of Appeal   |          |
| 1402     | 330      | 2402     | 165      | Filing a brief in support of an appeal                                     |          |
| 1403     | 290      | 2403     | 145      | Request for oral hearing   |          |
| 1451     | 1,510    | 1451     | 1,510    | Petition to institute a public use proceeding                              |          |
| 1452     | 110      | 2452     | 55       | Petition to revive - unavoidable   |          |
| 1453     | 1,330    | 2453     | 665      | Petition to revive - unintentional   |          |
| 1501     | 1,330    | 2501     | 665      | Utility issue fee (or reissue)   |          |
| 1502     | 480      | 2502     | 240      | Design issue fee   |          |
| 1503     | 640      | 2503     | 320      | Plant issue fee  |          |
| 1460     | 130      | 1460     | 130      | Petitions to the Commissioner  |          |
| 1807     | 50       | 1807     | 50       | Processing fee under 37 CFR 1.17(q)  |          |
| 1806     | 180      | 1806     | 180      | Submission of Information Disclosure Stmt                                  | -0-      |
| 8021     | 40       | 8021     | 40       | Recording each patent assignment per property (times number of properties) |          |
| 1809     | 770      | 2809     | 385      | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 1810     | 770      | 2810     | 385      | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 1801     | 770      | 2801     | 385      | Request for Continued Examination (RCE)                                    |          |
| 1802     | 900      | 1802     | 900      | Request for expedited examination of a design application                  |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)-0-

## SUBMITTED BY

Name (Print/Type)

Allan C. Tuan

Registration No.  
(Attorney/Agent)

55,689

(Complete if applicable)

Telephone 509-375-6866

Signature

Allan C. Tuan

Date

March 12, 2004

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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